

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Michael D. Ellis, William L. Thomas,  
Joel G. Hassell, Thomas R. Lemmons,  
David M. Berezowski, Robert A. Knee, and  
Robert H. McCoy

Serial No. : Not Yet Assigned

Filed : Concurrently Herewith

For : INTERACTIVE TELEVISION PROGRAM  
GUIDE WITH REMOTE ACCESS

Group Art Unit :

Examiner :

Hon. Assistant Commissioner  
for Patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,  
applicant wishes to call the attention of the Examiner to  
the following documents:

U.S. Patents

Romesburg et al. U.S. Patent 5,113,259 (5/12/92)  
Kwoh et al. U.S. Patent 5,382,983 (1/17/95)  
Levine U.S. Patent 5,414,756 (5/9/95)  
Klosterman U.S. Patent 5,550,576 (8/27/96)  
Knee et al. U.S. Patent 5,589,892 (12/31/96)  
Hendricks et al. U.S. Patent 5,600,364 (2/4/97)  
Oran et al. U.S. Patent 5,617,526 (4/1/97)  
Rowe et al. U.S. Patent 5,623,613 (4/22/97)  
Lawler et al. U.S. Patent 5,699,107 (12/16/97)  
Rozak et al. U.S. Patent 5,748,191 (5/5/98)  
Levine U.S. Patent 5,748,716 (5/5/98)  
Haroun et al. U.S. Patent 5,787,259 (7/28/98)  
Redford et al. U.S. Patent 5,788,507 (8/4/98)  
Yuen U.S. Patent 5,812,931 (9/22/98)

Humpleman U.S. Patent 5,886,732 (3/23/99)  
Lett et al. U.S. Patent 5,592,551 (1/7/97)

#### Foreign Patent Documents

WO 94/14282 (6/23/94)  
WO 96/20555 (7/4/96)  
WO 97/13368 (4/10/97)  
EP 0 774 853 A2 (5/21/97)  
WO 97/31480 (8/28/97)  
EP 0 793 225 A2 (9/3/97)  
WO 97/36422 (10/2/97)  
WO 97/47106 (12/11/97)  
WO 97/47143 (12/11/97)  
WO 97/49237 (12/24/97)  
WO 98/10589 (3/12/98)  
WO 98/17064 (4/23/98)  
WO 99/14947 (3/25/99)

#### Other Documents

"Sun's Next Steps In Digital Set-tops,"  
article in Cablevision, p. 56, 11/16/98

"Honey, is there anything good on the remote  
tonight?", advertisement from Multichannel  
News, Broadband Week Section, p. 168,  
11/30/98

"What is Jini?", advertisement from the  
Internet at [http://java.sun.com/products/  
jini/whitepapers/whatsjini.pdf](http://java.sun.com/products/jini/whitepapers/whatsjini.pdf),  
printed on 1/25/99.

"Jini™ Architecture Overview" by Jim Waldo,  
from the Internet at [http://java.sun.com/  
products/jini/whitepapers/  
architectureoverview.pdf](http://java.sun.com/products/jini/whitepapers/architectureoverview.pdf), printed on 1/25/99.  
The document bears a copyright date of 1998.

"Why Jini Now?", from the Internet at  
[http://java.sun.com/products/jini/  
whitepapers/whyjini.pdf](http://java.sun.com/products/jini/whitepapers/whyjini.pdf),  
printed on 1/25/99. The document bears  
a copyright date of 1998.

"How Evolve Works", from the Internet at <http://www.evolveproducts.com/network.html>, printed on 12/28/98.

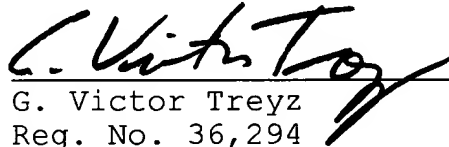
"The Evolve EZ Guide. The Remote. Controll", from the Internet at <http://www.evolveproducts.com/display2.html>, printed on 12/28/98.

"Reaching your subscribers is a complex and costly process-until now", from the Internet at <http://www.evolveproducts.com/info.html>, printed on 12/28/98.

These documents are listed on the accompanying Form PTO-1449 (submitted in duplicate) and copies are enclosed herewith.

Consideration of the foregoing in relation to this patent application is respectfully requested.

Respectfully submitted,



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SERIAL #  
Not Yet  
Assigned

## GROUP

## EJ852806859US

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
UV-99SERIAL NO.  
Not Yet  
AssignedINFORMATION DISCLOSURE  
STATEMENT BY APPLICANTS

APPLICANT

Ellis et al.

FILING DATE  
Concurrently Herewith

GROUP

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO 94/14282	6/23/94	PCT	H04N	7/16		
	WO 96/20555	7/4/96	PCT	H04M	11/00		
	WO 97/13368	4/10/97	PCT	H04N	7/10		
	EP 0 774 853 A2	5/21/97	EPO	H04M	3/50		
	WO 97/31480	8/28/97	PCT	H04N	7/10		
	EP 0 793 225 A2	9/3/97	EPO	G11B	15/02		
	WO 97/36422	10/2/97	PCT	H04N	5/76		
	WO 97/47106	12/11/97	PCT	H04L	9/00		
	WO 97/47143	12/11/97	PCT	H04Q			
	WO 97/49237	12/24/97	PCT	H04N	5/445		
	WO 98/10589	3/12/98	PCT	H04N	7/16		
	WO 98/17064	4/23/98	PCT	H04N	7/173		
	WO 99/14947	3/25/99	PCT	H04N	5/445		

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

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## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER  
INITIAL

"Sun's Next Steps In Digital Set-tops," article in Cablevision, p. 56, 11/16/98

"Honey, is there anything good on the remote tonight?", advertisement from Multichannel News, Broadband Week Section, p. 168, 11/30/98

"What is Jini?", from the Internet at <http://java.sun.com/products/jini/whitepapers/whatsjini.pdf>, printed on 1/25/99."Jini™ Architecture Overview" by Jim Waldo, from the Internet at <http://Java.sun.com/products/jini/whitepapers/architectureoverview.pdf>, printed on 1/25/99. The document bears a copyright date of 1998."Why Jini Now?", from the Internet at <http://java.sun.com/products/jini/whitepapers/whyjinihow.pdf>, printed on 1/25/99. The document bears a copyright date of 1998."How Evolve Works", from the Internet at <http://www.evolveproducts.com/network.html>, printed on 12/28/98."The Evolve EZ Guide. The Remote. Controll", from the Internet at <http://www.evolveproducts.com/display2.html>, printed on 12/28/98."Reaching your subscribers is a complex and costly process-until now", from the Internet at <http://www.evolveproducts.com/info.html>, printed on 12/28/98.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

REV. 11/98  
For Other Than A Small Entity

Docket No. UV-9



Applicants : Michael D. Ellis, William L. Thomas, Joel G. Hassell, Thomas R. Lemmons, David M. Berezowski, Robert A. Knee, and Robert H. McCoy

#4  
4/20/00  
A.W.

For : INTERACTIVE TELEVISION PROGRAM GUIDE WITH  
REMOTE ACCESS

EXPRESS MAIL CERTIFICATION

"Express Mail" mailing label number EJ852806859US.

Date of Deposit July 16, 1999

I hereby certify that this transmittal letter and the other papers and fees identified in this transmittal letter as being transmitted herewith are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and are addressed to the Hon. Assistant Commissioner for Patents, Washington, D.C. 20231.

Hon. Assistant Commissioner  
for Patents  
Washington, D.C. 20231

TRANSMITTAL LETTER FOR  
ORIGINAL PATENT APPLICATION

Sir:

Transmitted herewith for filing are the  
[X] specification; [X] claims; [X] abstract; [X] unexecuted  
declaration and power of attorney, for the above-identified  
patent application.

Also transmitted herewith are:

[X] 35 sheets of:

[ ] Formal drawings.

☒ Informal drawings. Formal drawings will be filed during the pendency of this application.

☐ Certified copy(ies) of application(s)

(country)	(appln. no.)	(filed)
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(country)	(appln. no.)	(filed)
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(country)	(appln. no.)	(filed)
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from which priority is claimed.

☐ An assignment of the invention to \_\_\_\_\_.

☐ A check in the amount of \$40.00 to cover the recording fee.

☐ Please charge \$40.00 to Deposit Account No. 06-1075 in payment of the recording fee. A duplicate copy of this transmittal letter is transmitted herewith.

☐ An associate power of attorney.

☒ An Information Disclosure Statement.

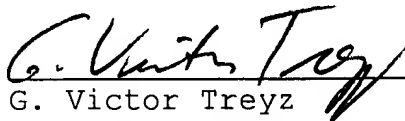
The filing fee has been calculated as shown below:

FOR	NUMBER FILED	NUMBER EXTRA	RATE	FEE
BASIC FEE				\$ 760.00
TOTAL CLAIMS	167 - 20 =	147	X \$ 18 =	\$2646.00
INDEPENDENT CLAIMS	28 - 3 =	25	X \$ 78 =	\$ 950.00
FIRST PRESENTATION OF A MULTIPLE DEPENDENT CLAIM			+ \$260 =	\$
				TOTAL \$5356.00



- [X] A check in the amount of \$5356.00 in payment of the filing fee is transmitted herewith.
- [ ] This application is being filed unaccompanied by a filing fee. The appropriate filing fee will be paid in response to a Notice to File Missing Parts, pursuant to 37 C.F.R. § 1.53(d).
- [X] The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 C.F.R. § 1.16, in connection with the paper(s) transmitted herewith, or credit any overpayment of same, to deposit Account No. 06-1075. A duplicate copy of this transmittal letter is transmitted herewith.
- [ ] Amend the specification by inserting before the first line the sentence: -- This is a [ ] continuation-in- part, of application Serial No.: \_\_\_\_\_, filed \_\_\_\_\_, entitled \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_.
- [ ] Please charge \$\_\_\_\_\_ to Deposit Account No. 06-1075 in payment of the filing fee. A duplicate copy of this transmittal letter is transmitted herewith.

Respectfully submitted,



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